

10-10-01

A

10/09/01  
1052 U.S. PTO

|   |   |
|---|---|
| <b>UTILITY<br/>PATENT APPLICATION<br/>TRANSMITTAL</b><br><br><small>(Only for new nonprovisional applications under 37 CFR 1.53(b))</small> | Attorney Docket No. 34848/234245  |
|   | First Inventor or Application Identifier: Roberts <i>et al.</i>   |
|   | Title of Invention: THIOESTER POLYMER DERIVATIVES AND METHOD OF MODIFYING THE N-TERMINUS OF A POLYPEPTIDE THEREWITH |
|   | Express Mail Label No. EL 780615945 US  |

10/09/01  
1052 U.S. PTO  
09/973316

ADDRESS TO: **BOX PATENT APPLICATION  
COMMISSIONER FOR PATENTS  
WASHINGTON, DC 20231**

Transmitted herewith for filing in the United States Patent Office is a patent application for:

Inventors: Michael J. Roberts and Zhihao Fang

Assignee of this invention is Shearwater Corporation

- ☒ The Filing Fee has been calculated as shown below:
- ☐ Applicant claims Small Entity Status. See 37 CFR 1.27.

|   | No. Filed | No. Extra | Small Entity<br>Rate      Fee 0 | Large Entity<br>Rate      Fee 1 |
|---|-----------|-----------|---------------------------------|---------------------------------|
| BASIC FEE   |           |           | \$0                             | \$740                           |
| TOTAL CLAIMS:   | 97 - 20 = | 77        | X 9 = \$0                       | x 18 = \$1386                   |
| INDEP CLAIMS:   | 5 - 3 =   | 2         | X 42 = \$0                      | x 84 = \$168                    |
| <input type="checkbox"/> MULTIPLE DEPENDENT CLAIMS<br>PRESENTED             |           |           | +140 = \$                       | +280 = \$                       |
| *If the difference in Column 1 is less than zero,<br>enter "0" in Column 2. |           |           | TOTAL \$                        | TOTAL \$ 2294.00                |

The Commissioner is hereby authorized to credit overpayments or charge the following fees to Deposit Acct. No. 16-0605.

- ☒ Fees required under 37 CFR 1.16 (National filing fees).
  - ☒ Fees required under 37 CFR 1.17 (National application processing fees).
- ☒ A check in the amount of \$ 2,294.00 for the filing fee is enclosed.
- ☐ The above filing fee will be paid along with Applicant(s) Response to the Notice to File Missing Parts.
- ☒ Specification; Total Pages 42
  - ☐        Sheets of Formal Drawing(s) (35 USC 113)
  - ☐ Declaration and Power of Attorney; [Total Pages       ]
    - ☐ Newly executed (original or copy)
    - ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
      - ☐ DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) & 1.33(b).
  - ☐ Application Data Sheet. See 37 CFR 1.76
  - ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☐ Computer Readable Copy (CRF)
  - b. ☐ Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ Paper (\_\_\_ Pages)
  - c. ☐ Statement verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

- 9. ☐ Assignment Papers (cover sheet & document(s) (including a check for the \$40.00 fee)
- 10. ☐ 37 CFR 3.73(b) Statement (*when there is an assignee*); ☐ Power of Attorney
- 11. ☐ English Translation Document (*if applicable*)
- 12. ☒ Information Disclosure Statement (IDS)/PTO-1449; 27 Copies of IDS Citations
- 13. ☐ Preliminary Amendment
- 14. ☒ Return Receipt Postcard (MPEP 503) (*Should be specifically itemized*)
- 15. ☐ Certified Copy of Priority Document(s) (*if foreign priority is claimed*)  
☐ Foreign Priority is claimed as Application No. \_\_\_\_\_, filed \_\_\_\_\_
- 16. ☐ Nonpublication Request under 35 U.S.C. 122(b)(2)(B)(i).  
Applicant **must** attach form PTO/SB35 or its equivalent.
- 17. ☐ Request for Early Publication Under 37 CFR § 1.219. Fee of \$300.00 is enclosed.
- 18. **If a CONTINUING APPLICATION**, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CF 1.76:  
☐ Continuation ☐ Divisional ☐ Continuation in Part (CIP)  
of prior Application No: \_\_\_\_; Filed \_\_\_\_

Prior Application Information: Examiner \_\_\_\_\_

Group/Art Unit: \_\_\_\_\_

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. **CORRESPONDENCE ADDRESS** **CUSTOMER NUMBER 00826**

Signature: \_\_\_\_\_

Attorney/Agent of Record: Christopher M. Humphrey

Attorney/Agent Registration No. 43,683

**Alston & Bird LLP**

Bank of America Plaza

101 South Tryon Street, Suite 4000

Charlotte, NC 28280-4000

Tel Raleigh Office (919) 862-2200

Fax Raleigh Office (919) 862-2260

"Express Mail" mailing label number EL 780615945 US

Date of Deposit October 9, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to Box Patent Application, Commissioner For Patents, Washington, DC 20231.

Tracey S. Wright  
Tracey S. Wright - RTA 2104903v1